HEWLETT-PACKARD COMPANY Intellectual Property Administration P. O. Box 272400 Fort Collins, Colorado 80527-2400

COMMISSIONER FOR PATENTS Washington, D.C. 20231

PATENT APPLICATION

ATTORNEY DOCKET NO. 10006728 -1

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s):

Kevin Collins et al

C nfirmation No.:

**Application No.:** 

Examiner:

Filing Date:

Group Art Unit:

Title:

Storage Device Performance Monitor

RECEIVED

Technology Center 2100

Sir:

INFORMATION DISCLOSURE STATEMENT

This Information Disclosure Statement is submitted:

(x) under 37 CFR 1.97(b), or (Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)

( ) under 37 CFR 1.97(c) together with either a:

( ) Statement under 37 CFR 1.97(e), or

( ) a \$180.00 fee under 37 CFR 1.17(p), or (After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs

( ) under 37 CFR 1.97 (d) together with a:

( ) Statement under 37 CFR 1.97(e), and

( ) a petition under 37 CFR 1.97(d)(2), and

( ) a \$180.00 petition fee set forth in 37 CFR 1.17(p).

(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00 . At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37°CFR 1.56.

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EL 795260515 US

Date of Deposit 9-27-01

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

Typed Name:Donna Kraft

Respectfully submitted,

Kevin Collins et al

T. Grant Ritz

Attorney/Agent for Applicant(s)

Reg. No. 39,819

Date: 9 27-1

Telephone No.: (970) 898-0697

Rev 06/01 (IDSXML)

Sheet 1 of 4

,											
* FORM PTO-1449					ATTY. DOCKET NO. APPLICATION NO. 10006728-1 00/000,000			1 -	CONFIRMATION		
LIST OF PATENTS AND PUBLICATIONS FOR					10006728-1	00/	000,00	00		<del>-2</del>	
		NT'S INFORMAT	TION DISCLOSURE		APPLICANT Kevin C Ilins					353	
		STAT	EMENT	FILING DATE	GRO	UP			- 8.50 F		
	(Us	e several sheets	if necessary)	Unknown	Unk			26			
REFEREN	CE [	DESIGNATION	N U.S. P	PATE	NT DOCUMENTS					3083	
XAMINER INITIAL					NAME			CLASS		SUB ASS	
	1A	5,506,955	04-09-96	Сн	nen, et al.		39	95	18	3.02	
	18	5,566,317	10-15-96	Tre	eiber, et al.		39	95	44	4	
	1C	5,684,945	11-04-97	Ch	nen, et al.		39	<del></del>	1	2.18	
	1D	-				·					
	1E										
	1F							RE			
	1G			+		· · · · · · · · · · · · · · · · · · ·	+	REC	EIV	· · ·	
	1H			$\dashv$			1	<b>1</b> 0√ ≥	0	<del>-0-</del>	
	11			$\dashv$			Techn.	o <sub>logy Ce</sub>	10 200	77	
	1J		<u> </u>	+-			+	Copy Co	nter ~		
	1K			<del></del>			-		10, 27	' <del>00</del>	
	l	<u>l</u>	<u> </u>								
	I	T	FOI	REIGN	N PATENT DOCUME	NTS		<del></del>	TEAN	SLATION	
		DOCUMENT NUMBER	DATE		NAME		CLASS	SUB CLASS		NO	
	1L							ļ		<u> </u>	
	1M								1		
	1N										
	10										
	1P							<u> </u>			
		OTHER REF	ERENCES (includi	ng A	uthor, Title, Date, Pe	ertinent l	Pages,	etc.)			
	10	"Making Sure	Disk Performance S	Statist	tics are Collected", Mic	rosoft Co	orporati	on, 200	00, 2 pa	ages.	
	` _	ivianing care			, , , , , , , , , , , , , , , , , ,		•	•			
	1R	"Monitoring H	lard Disk Performan	ce" i3	886, Dublin, Ireland, 20	01, 2 pa	ges.				
	1.	811-2		NA:-	rooft Corneration 200	20 2					
	18	Using the Pe	rrormance Monitor"	, IVIICI	rosoft Corporation, 200	J∪, ∠ pag	jes.				
EXAMIN	ER		<u> </u>		DATE CONSIDERE	D					

Sheet 2 of 4

FORM PTO-1449  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)					ATTY. DOCKET NO. 10006728-1		ICATIO 1 <b>00,0</b> (	1	ONFIRM	MATION
					APPLICANT					
					Kevin C Ilins					
					FILING DATE	GRO	JP			
					Unknown	Unk	Unk			
EFEREN	CE D	ESIGNATION	U.S. PA	ATENT	DOCUMENTS					
(AMINER INITIAL		DOCUMENT NUMBER	DATE		NAME	_	С	LASS		UB ASS
	2A									
	2B									
	2C		_							
	2D									
	2E									
	2F		-	-						
	2G									
	2H									
	21			1			1			
	2J			,						<del></del>
	2K		<del></del>	1						
		DOCUMENT NUMBER	DATE		NAME	(	CLASS	SUB CLASS		NO
	2L		<u> </u>							
	2M									
	2N				***					
	20			<u> </u>						
	2P									
		OTHER REFER	ENCES (includin	g Aut	hor, Title, Date, Per	tinent F	ages,	etc.)		
	20	"Pre-Failure Aler 9, 2001, 1 page		ter Cor	poration, published to	the Inte	ernet at	: least a	s early	as April
	2R	"Efficient, Real-1 Serial No. 09/58	ime Management 9,144 filed June 7	of Sto 7, 200	rage Resources", U.S 0.	. Patent	Applic	ation of	Duggar	n, et al.,
	2\$	"Hard Disk Drive 2001, 5 pages.	es", IBM Corporation	on, pul	blished to the Internet	at least	as ear	ly as Se	eptembe	r 17,

Sheet 3 of 4

EO DA	DTO 1440		1	ATTY. DOCKET NO.	ALL LIC	APPLICATION NO. CONFIRMATION				
	PTO-1449			10006728-1	00/000,000					
	F PATENTS AND P CANT'S INFORMAT			APPLICANT						
7.7.1	STATE			Kevin Collins FILING DATE GROUP						
(	Use several sheets	if necessary)		Unkn wn	Unk					
EFERENCE	DESIGNATION	U.S. P	ATEN	T DOCUMENTS			<del></del>	<del></del>		
KAMINER	DOCUMENT	DATE	<u> </u>	NAME			1	SUB		
INITIAL	NUMBER	DATE		NAME		CLASS	CI	LASS		
3/										
30			+-				<del></del>			
31	<del></del>		+							
31										
31	=									
30	3									
31	4									
31										
3.	)									
31	<									
		FOI	REIGN	PATENT DOCUMEN	TS		I TRA	NSI ATION		
	DOCUMENT NUMBER	FOR	REIGN	PATENT DOCUMEN	<u> </u>	ASS SL	лв	NSLATION NO		
31	NUMBER		REIGN		<u> </u>		שי אי			
31	NUMBER -		REIGN		<u> </u>		שי אי			
31	NUMBER - M		REIGN		<u> </u>		SS YES			
31	NUMBER - M N		REIGN		<u> </u>		SS YES			
31	NUMBER - M N		REIGN		<u> </u>		SS YES			
31	NUMBER  NUMBER	DATE			CL	ASS CLA	SS YES			
31	OTHER REF	DATE  DATE  ERENCES (includi	ing Au	NAME	tinent Pag	ges, etc.	SS YES	NO		
31 36 38	OTHER REF	ERENCES (including Advanced Drive Diameted from a local case)	ng Au	NAME thor, Title, Date, Per	tinent Page	ges, etc.	YES YES  NOTE: available.	This		
31 30 31	OTHER REF	ERENCES (including Advanced Drive Diameter from a local cases)	ing Auragnostia	thor, Title, Date, Perces", Quantum Corporat rectory and therefore, s	tinent Pagion, 1998 some figur	ges, etc. ,13 page: es are un	yes YES YES YES YES YES	This		

Sheet 4 of 4

FOR	M PT	O-1449		ATTY. DOCKET NO.			ONFIRMATION				
LIST OF PATENTS AND PUBLICATIONS FOR				10006728-1	00/000,0	00					
		PATENTS AND PUB NT'S INFORMATIO			APPLICANT						
		STATEM	ENT	K vin Collins FILING DATE	GROUP						
	(Use	e several sheets if	necessary)	Unkn wn	Unk						
EFEREN	CE D	ESIGNATION	U.S. PA	ATENT DOCUMENTS							
KAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	C	CLASS	SUB CLASS				
	4A										
	4B					•					
	4C					-					
	4D										
	4E										
	4F				-	•					
	4G				-						
	4H										
-	41										
	4J										
	4K										
		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATIO YES NO				
	4L						<del>                                     </del>				
	4M					ļ	<del>  </del>				
	4N						<del>                                     </del>				
	40			<del> </del>			<del>  </del>				
	4P						<u> </u>				
		OTHER REFER	RENCES (including	g Author, Title, Date, P	ertinent Pages,	etc.)					
	40	"Data Lifeguard Internet at least	Online Diagnostics as early as Septem	s S.M.A.R.T. Test", Weste nber 28, 2000, 2 pages.	ern Digital Corpor	ation, p	ublished to the				
	4R										
					<u>-</u>						
	48										
	- 1										